

Applicant or Patentee:

Richard Leslie Edelson

Attorney's

Joseph S. Kantoff

Serial or Patent No.:

Docket No.:

270425.003

Filed or Issued:

For:

Methods for Inducing the
Differentiation of Monocytes Into
Functional Dendritic Cells and
Immunotherapeutic Compositions
Including Such Dendritic Cells

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled described in

☒ the specification filed herewith☐ application serial no. _____, filed _____☐ patent no. _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☒ no such person, concern, or organization☐ persons, concerns or organizations listed below*

*Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME

ADDRESS

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

NONPROFIT ORGANIZATION

FULL NAME

ADDRESS

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Richard Leslie Edelson

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

76 Coleytown Road
Westport, CT 06880

ADDRESS OF INVENTOR

ADDRESS OF INVENTOR

ADDRESS OF INVENTOR

Signature of Inventor

Signature of Inventor

Signature of Inventor

Date

Date

Date

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ATTORNEY DOCKET NO.: 810224.006

Declaration, Power of Attorney, and Petition

As a below named inventor, I/we hereby declare that:

My/Our residence, post office address and citizenship is/are as stated below next to my/our name(s).

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **Methods for Inducing the Differentiation of Monocytes Into Functional Dendritic Cells and Immunotherapeutic Compositions Including Such Dendritic Cells, the specification of which (check one)**

☒ is attached hereto; or

☐ was filed on _____ as Application Serial No. _____ and was amended on _____ (if applicable); or

PCT FILED APPLICATION ENTERING NATIONAL STAGE

☐ was described and claimed in International Application No. _____ filed on _____ and as amended on _____ (if applicable).

I/We hereby state that I/we have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above, and that it contains a full, clear, concise and exact description of the subject matter for which a patent is sought.

I/we acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

Prior Application(s)

☐ (Check if applicable) I/We hereby claim foreign priority benefits under Title 35, United States Code § 119, by checking the box(es) below, any foreign application(s) for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Claimed?

Priority

(Number)	(Country)	Day/month/year filed

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

(Number)	(Country)	Day/month/year filed

<input type="checkbox"/>	<input type="checkbox"/>
Yes	No

☐ (Check if applicable) I/We hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Prior Provisional Application(s)

(Application Number)

(Filing Date)

(Note: When the nonprovisional application is entitled to an earlier U.S. effective filing date of one or more provisional applications under Title 35, United States Code § 119(e), a statement such as "This application claims the benefit of U.S. Provisional Application No. _____, filed _____, and U.S. Provisional Application No. _____, filed _____," should appear as the first sentence of the description. In view of this requirement, the right to rely on a prior application may be waived or refused by an applicant by refraining from inserting a reference to the prior application in the specification of the later one.)

☐ (Check if applicable) I/We hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I/we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

(Application Serial No.)

(Filing Date)

Status (Patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

Status (Patented, pending, abandoned)

☒ (Check if applicable) I/We hereby authorize the U.S. attorneys or agents named herein to accept and follow instructions from Dr. Richard Edelson as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the

U.S. attorneys or agents named herein and myself/ourselves. In the event of a change, I/we will notify in writing the U.S. attorney or agent named herein.

☐ (Check if applicable) In this continuation-in-part application, insofar as the subject matter of any of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

I/We hereby declare that all statements made herein of my/our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I/we hereby appoint:

Barry Kramer, Reg. No. 20,622
R. Thomas Payne, Reg. No. 30,674
Basam E. Nabulsi, Reg. No. 31,645
Mark D. Giarratana, Reg. No. 32,615
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Jeffrey J. Miller, Reg. No. 39,773

of the firm of CUMMINGS & LOCKWOOD, whose address is Granite Square, 700 State Street, P.O. Box 1960, New Haven, CT 06509-1960, as my/our attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please address all written correspondence to the following address:

attn: Anita Lomartra
CUMMINGS & LOCKWOOD
Granite Square
700 State Street
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New Haven, CT 06509-1960

Telephone Calls should be directed to Joseph S. Kentoffio, by dialing (860) 275-6713.

Wherefore I/we pray that Letters Patent be granted to me/us for the invention or discovery described and claimed in the foregoing specification and claims, and I/we hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

Full name of first inventor: Richard Leslie Edelson

Residence: 76 Coleytown Road, Westport, CT 06880

Citizenship: USA

Post Office Address:

First Inventor's signature



Date

4/20/99

Full name of second joint inventor, if any:

Residence:

Citizenship:

Post Office Address:

Second Inventor's signature

Date

CALDOC: H1830151.DOC 04/20/99

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